

Joint Base Lewis-McChord (JBLM)		
Procedure: Document Control		
Document ID: EMS-240		
Document Owner: <i>John Radzyminski</i>	Approval: <i>Paul T. Steucke Jr.</i>	Revision:3 Revision Date: 3 July 2013
EMS Coordinator	Environmental Division Chief	Original Date: 11 July 2003

PURPOSE

To provide a standard method for controlling documents that support the operation of the JBLM Environmental Management System (EMS).

APPLICABILITY

This procedure applies to JBLM personnel involved in creating, maintaining, revising and using documents associated with the JBLM EMS. Documents to which this procedure applies are the JBLM Environmental Management Manual or EMM (Tier One), JBLM/Organization-level procedures (Tier Two), work instructions (Tier Three), and forms.

DEFINITIONS

Approval Authority — Person responsible for approval of designated documents. The Approval Authority is as follows:

- Environmental Management Manual (Tier One): Joint Base Commander/EMS Management Director
- JBLM-level EMS procedure (Tier Two) or form: Environmental Division Chief
- JBLM/Organization-level work instruction (Tier Three) or form: Director/Head of Organization that prepared the document or Designated Section Chief.

Controlled Documents – EMS documents generated by and/or used within JBLM, which are subject to document management. This may include documents of external origin (e.g. manufacture's operating manuals) that are used as work instructions. The categories of controlled documents include JBLM manuals such as the Environmental Management Manual (Tier One), JBLM level EMS procedures (Tier Two), work instructions (Tier Three), and forms. Installation Tier One and Two documents are tracked and controlled by the installation EMS Program. Organizations with a certified EMS track and control their own Tier One and Two documents. Each organization tracks and controls its Tier Three documents and forms. Tier One, Two and Three documents pertaining to the JBLM EMS will:

- Have an information header on the cover as shown in the example at Appendix 1 or a similar formatted header that contains the same information.

- Have a disclaimer on all uncontrolled copies using a format similar to that provided in Appendix 1.
- If electronically generated, have a back-up hard copy file system.

Organization Document Control Personnel— Personnel within each section of an organization who are responsible for performing organizational document control functions..

Document Owner – The proponent who is responsible and accountable for the particular document.

EMS Management Director — The Joint Base Commander, or an individual appointed by the Joint Base Commander, who, irrespective of other duties, has authority and responsibility for the operation of the JBLM Environmental Management System (EMS).

EMS Representative — An individual appointed by an Organization Director/Head who, irrespective of other duties, has authority and responsibility for the operation of the organization Environmental Management System (EMS).

Form — Document that is flexibly formatted and which supports activities required by other EMS documentation. A form is a controlled document. A completed form becomes a record (Tier Four). JBLM-generated forms are controlled by installation procedures (e.g., Regulation 25-35) or:

- Having a title and a date on the form, and
- Being part of a Tier Two Procedure or a Tier Three Work Instruction, or
- If not part of a Procedure or Work Instruction (i.e., it is a separate form), being included in an accounting of separate forms maintained by the Organization

JBLM Environmental Policy (Tier One) — JBLM's installation environmental policy, controlled as a Tier One document and signed by the Joint Base Commander.

JBLM-level Manual (Tier One) — A JBLM-level guidance or information document. The Environmental Management Manual (EMM) is a Tier One manual. The JBLM-level manual is a controlled document. The current version of the EMM is maintained on the JBLM Internet as a read-only document. All printed copies of JBLM-level manuals (except the original, signed copy) are uncontrolled and are used for reference only.

JBLM-level Procedure (Tier Two) — A JBLM-level document that summarizes procedures related to the JBLM Environmental Management Manual. A Tier Two Procedure is a controlled document.. This document (EMS-240) is an example of a JBLM-level procedure. Current versions of Tier Two procedures are maintained on the JBLM Internet as read-only documents. All printed copies of Tier Two procedures (except the original, signed copy) are uncontrolled and are used for reference only.

Process Owner — The proponent who is responsible and accountable for operation of the process.

Record (Tier Four) — a document, in written or electronic form, that provides evidence of environmental compliance or conformance with an EMS-related requirement. Examples of documents that may be needed to meet environmental record keeping requirements include, but are not limited to, checklists, audit/inspection/quality assurance/quality control findings, preventive and corrective action histories, permits, contract language, meeting minutes, staffing

actions, information papers, presentations, agendas, training records (to include those reflecting completion of job specific required training, or ‘competency training’), certificates, and sign-in rosters. **Reference** — (1) A document prepared/owned by a proponent other than the user but required by the user, or (2) a multiple-use document owned by the user but which would be impractical or unnecessary to keep track of who has copies.

A reference is not a controlled document; however, Organization document control personnel track the pertinent references for their respective sections.

Reviewers — Persons recommended by the Document Owner to review the document. Reviewers may include one of more of the following: Organization Directors/Heads, Program Managers, Division Chiefs, Branch Chiefs, Shop Foremen, administrative personnel, and persons actually performing the task to which a document applies.

Work Instruction (Tier Three) — A document that describes how to perform or carry out specific tasks associated with the EMS. A Tier Three Work Instruction is traceable to and aligned with relevant environmental regulations and the JBLM EMS. A Work Instruction is a controlled document. A Standard Operating Procedure (SOP) for operation of a paint booth or a site-specific spill response plan are examples of Tier Three Work Instructions. JBLM Management Plans such as the Integrated Pest Management Plan are also examples of Tier III work instructions at the JBLM-level.

SUPPORTING DOCUMENTS

<u>Document ID</u>	<u>Title</u>
EMS-100	Environmental Management Manual
EMS-230	Environmental Communications
EMS-265	Environmental Records
JBLM Reg 25-35	Preparing and Publishing Joint Base Lewis-McChord Administrative Publications
Applicable DoD and Service Documents	E.g., DoDD 5015.2 , AR 25-400-2 , and/or AFI 33-322

This section applies to <u>creating</u> new JBLM-level manuals (Tier One) and procedures (Tier Two).		
Responsible		Action
JBLM EMS Coordinator	1	Obtain and/or attach appropriate document control features (e.g., document identification, version, date, proponent) to ensure document will remain current at point of use and clear in its versioning. See information in Appendix 1.
	2	Prepare the draft manual or procedure. Draft shall possess control features as noted at step 1 and be legible and readily identifiable.
	3	Staff the draft through appropriate reviewers for comments in accordance with installation staffing procedures.
	4	Incorporate review comments as appropriate.
	5	Repeat steps #3 and #4 for successive drafts as needed and prepare a final version of the manual or procedure.
	6	Obtain the appropriate approval signature on the manual or procedure using JBLM staffing procedures. Post at appropriate location. <i>Note: The original signed hard copy of the manual or procedure will be maintained in a file by the EMS Coordinator and an electric copy will be posted on the appropriate installation website .</i>
	7	After document is posted, send an email notification to appropriate personnel (e.g., Organization EMS Representatives).
	8	Review document at least annually. Review as needed to reflect current procedures.
Reviewers	1	When requested by the EMS Coordinator, review the draft manual or procedure for accuracy and correctness relative to your review role.
	2	Provide review comments by email to the EMS Coordinator.

This section applies to <u>creating</u> new JBLM-level manuals (Tier One) and procedures (Tier Two).		
Responsible		Action
	3	Repeat steps #1 and #2 as necessary for successive drafts (if more than one draft is prepared) until the final version is prepared.
Approval Authority	1	Approve and sign the new manual or procedure
		<i>End of Activity</i>

This section applies to <u>revising</u> JBLM-level manuals (Tier One) and procedures (Tier Two).		
Responsible		Action
Anyone identifying a need for revision to a manual or procedure	1	<i>Notify the JBLM EMS Coordinator of the need for revision.</i>
	2	Supply information requested by the EMS Coordinator for follow up action.
JBLM EMS Coordinator	1	Review the request and determine if a change is needed now, at the next scheduled document review/revision, or is not necessary. If the document will be changed, proceed to step #4 below. If the change is not appropriate, complete only steps #2 and #3 below.
	2	Record on the document change request the reason the change will not be made, and provide a copy to the requester.
	3	File a copy of the request in the appropriate document history file.
	4	Prepare a draft revised manual or procedure incorporating requested changes as appropriate. Ensure draft is both legible and readily identifiable.
	5	Staff the draft through appropriate reviewers for comments in accordance with installation staffing procedures.
	6	Incorporate review comments as appropriate.

This section applies to <u>revising</u> JBLM-level manuals (Tier One) and procedures (Tier Two).		
Responsible		Action
	7	Repeat steps #5 and #6 for successive drafts as needed and prepare a final version of the revised manual or procedure.
	8	Obtain the appropriate approval signature on the manual or procedure using JBLM staffing procedures. <i>Note: The original signed hard copy of the manual or procedure will be filed as the backup of the current version on the JBLM Internet.</i>
	9	Update the document control header at the front of the document, and insure that the header is “tied to” the document, per instructions at Appendix 1.
	10	Post document at the appropriate location, accessible to installation personnel.
	11	After document is posted, send an email notification to appropriate personnel (e.g., Organization EMS Representatives).
Reviewers	1	When requested by the EMS Coordinator, review the draft manual or procedure for accuracy and correctness relative to your review role.
	2	Provide review comments by email to the EMS Coordinator.
	3	Repeat steps #1 and #2 as necessary for successive drafts (if more than one draft is prepared) until the final version is prepared.
Approval Authority	1	Approve and sign the revised manual or procedure.
		<i>End of Activity</i>

This Section applies to <u>creating</u> new Work Instructions such as SOPs (Tier Three).		
Responsible		Action
Any Employee	1	Determine the need for a new work instruction and submit the information through your supervisor to the process owner.

This Section applies to <u>creating</u> new Work Instructions such as SOPs (Tier Three).		
Responsible		Action
Process Owner	1	<p>Task the appropriate person with responsibility for preparing and maintaining the work instruction (document owner). If the process owner authors the document, or if the document is prepared by contract, the process owner becomes the document owner.</p> <p><i>Note: Formatting will be per applicable documentation requirements (e.g., JBLM, Army, or Air Force document guidelines). Such documents must have appropriate control features as required by the ISO 14001 standard. The document header at Appendix I is provided as a recommended tool if there are elements not addressed in the standard formatting.</i></p> <p><i>Note: Documents of external origin (e.g. manufacture's operating manuals) may be used as work instructions. However, they are still required to have appropriate document control features such as the header at Appendix 1.</i></p>
Document Owner	1	<p>Prepare the draft new work instruction. Ensure it is legible and readily identifiable.</p> <p><i>Note: This step may be performed by contract.</i></p>
	2	<p>Staff the document for review according to the pertinent procedures (e.g., JBLM procedures for documents having applicability outside the Organization or Organization procedures for documents only having internal applicability).</p>
	3	<p>Incorporate review comments as appropriate.</p> <p><i>Note: This step may be performed by contract.</i></p>
	4	<p>Repeat steps #2 and #3 for successive drafts as needed and prepare a final version of the work instruction.</p>
	5	<p>Attach appropriate document control features (e.g., document identification, version, date, proponent) to ensure document will remain current at point of use and clear in its versioning. See information in Appendix 1 for a recommended control tool.</p>

This Section applies to <u>creating</u> new Work Instructions such as SOPs (Tier Three).		
Responsible		Action
	6	Obtain the appropriate approval signature on the work instruction using applicable staffing procedures. <i>Note: If the current version of the work instruction will be electronically maintained as a read-only document, the original signed hard copy of the work instruction will be filed as the backup copy.</i>
	7	Post or distribute finalized document as appropriate, in accordance with applicable procedures (e.g., JBLM, Army, or Air Force).
	8	After document is posted, send notification to affected personnel.
	9	Review document at least annually. Revise as needed to reflect current procedures.
Reviewers	1	Review the draft work instruction for accuracy and correctness relative to your review role.
	2	Provide review comments as requested.
	3	Repeat steps #1 and #2 for successive drafts (if more than one draft is prepared) until the final version is prepared.
Approval Authority	1	Approve and sign the new work instruction.
Organization Personnel	1	Ensure the document is added to the Organization's tracking of its controlled documents.
		<i>End of Activity</i>

This Section applies to <u>revising</u> Work Instructions such as SOPs (Tier Three).		
Responsible		Action
Anyone identifying a need for revision to a work instruction	1	Notify the document owner of the need for revision. Provide any information needed for further action, such as suggested revision language or identification of specific sections in need of revision.

This Section applies to <u>revising</u> Work Instructions such as SOPs (Tier Three).		
Responsible		Action
Document Owner	1	Review the provided information and determine if a change is needed now, at the next scheduled document review/revision, or is not necessary.
	2	When a change is determined to be necessary, prepare a draft revised work instruction incorporating requested changes as appropriate. Ensure it is legible and readily identifiable. <i>Note: This step may be performed by contract.</i>
	3	Staff the document for review according to the pertinent procedures (e.g., JBLM procedures for documents having applicability outside the Organization or Organization procedures for documents only having internal applicability).
	4	Incorporate review comments as appropriate. <i>Note: This step may be performed by contract.</i>
	5	Repeat steps #3 and #4 for successive drafts as needed and prepare a final version of the work instruction.
	6	Obtain the appropriate approval signature on the revised work instruction using applicable staffing procedures. <i>Note: If the current version of the work instruction will be electronically maintained as a read-only document, the original signed hard copy of the work instruction will be filed as the backup copy.</i>
	7	Update appropriate document control features (e.g., document identification, version, date, proponent). See Appendix 1 for a recommended control tool if not all information is addressed in the standard formatting.
	8	Post or distribute finalized document as appropriate, in accordance with applicable procedures (e.g., JBLM, Army, or Air Force). Ensure changes and versioning are clearly and accurately annotated and that only the current version will be available at point of use. <i>Note: If the work instruction will be accessed electronically from word processing or spreadsheet software, even if read-only, be aware that individual users could copy the document to another file and make unapproved changes.</i>

This Section applies to <u>revising</u> Work Instructions such as SOPs (Tier Three).		
Responsible		Action
	9	After document is posted, send notification to affected personnel. Instruct that all copies (other than clearly identified historical records) be replaced with the current version.
Reviewers	1	Review the revised draft work instruction for accuracy and correctness relative to your review role.
	2	Provide review comments as requested.
	3	Repeat steps #1 and #2 for successive drafts (if more than one draft is prepared) until the final version is prepared.
Approval Authority	1	Approve and sign the revised work instruction.
Organization Personnel	1	Ensure the document is added to the Organization's tracking of its controlled documents.
		<i>End of Activity</i>

This Section applies to <u>creating</u> or <u>revising</u> Forms.		
Responsible		Action
Document Owner	1	Prepare the draft new or revised form. Format as required by the applicable guidelines (e.g., JBLM, Army, or Air Force). Ensure form is legible and readily identifiable. <i>Note: This step may be performed by contract if the form is part of a procedure or work instruction.</i>
	2	Staff the document for review according to the pertinent procedures (e.g., JBLM procedures for installation forms or Organization/Service/etc procedures for non-installation forms). <i>Note: When the form is a part of a procedure or work instruction, it is reviewed with the procedure or work instruction.</i>
	3	Incorporate review comments and finalize the form.

This Section applies to <u>creating</u> or <u>revising</u> Forms.		
Responsible		Action
	4	Obtain appropriate approval from the approval authority using applicable staffing procedures. <i>Note: When the form is a part of a procedure or work instruction, it is approved with the procedure or work instruction.</i>
	5	Post or distribute finalized form as appropriate, in accordance with applicable procedures (e.g., JBLM, Army, or Air Force). Ensure changes and versioning are clearly and accurately annotated and that only the current version will be available at point of use. <i>Note: If the form will be accessed electronically from word processing or spreadsheet software, even if read-only, be aware that individual users could copy the form to another file and make unapproved changes.</i>
	6	After document is posted, send notification to affected personnel and/or incorporate into applicable reference (e.g., a related regulation or instruction).
	7	Review the form annually. Revise as necessary to remain current for intended purpose.
Reviewers	1	Review the draft form for accuracy and correctness and provide comments as requested.
Approval Authority	1	Approve the new or revised form.
Organization Personnel	1	For non-installation forms, add form to Organization's tracking of controlled documents.
JBLM Directorate of Human Resources, Administrative Services Division	1	Control installation forms in accordance with Army and installation procedures.
		<i>End of Activity</i>

This Section applies to <u>deleting</u> Tier III Documents		
Responsible		Action
Document Owner	1	Delete no longer needed Tier III documents in accordance with applicable documentation and document control procedures.
	2	Notify affected personnel that the document is no longer in existence.
Organization Personnel	1	Maintain a historical copy in accordance with applicable legal/regulatory/policy requirements.
		<i>End of Activity</i>

DOCUMENT REVISION SUMMARY

Original Document Issue Date: 11 July 2003		
REVISION NUMBER	DATE OF REVISION	REVISION SUMMARY
1	16 February 2005	Added entries to Supporting Documents. Revised Tier III provisions to permit the use of external origin documents (e.g. manufacture's operating manuals) as controlled documents.
2	22 June 2007	Updated Owner, Approval Authority and Current Copy location
3	3 July 2013	Updated definitions, added references, updated processes to summarize procedures, deleted positions that do not exist.

IDENTIFYING HEADER AND DISCLAIMER FOR CONTROLLED DOCUMENTS

The identifying Controlled Document Header below will be placed on the cover of every controlled document.

Originating Office (JBLM or the JBLM Organization)		
Procedure: Title/Name of procedure or work instruction Document ID: Per protocol described in Procedure EMS-240		
Document Owner: <i>Name</i>	Approval: <i>Name</i>	Revision: Revision Date:
Title	Title	Original Date:
JBLM Controlled Document Header		

To ensure that the Controlled Document Header is “tied to” the document, all new and revised documents will have the following information from the Header on every page of the document:

Document ID

Revision number (if applicable)

Date

DISCLAIMER FOR UNCONTROLLED COPIES OF CONTROLLED DOCUMENTS

A disclaimer using one of the formats below will be placed as a header on uncontrolled documents.

- a. For uncontrolled copies of controlled documents that are maintained electronically, the header feature of the word processing software should be used to print the disclaimer in the following format:

For documents maintained on the Internet/Intranet: *“This is an UNCONTROLLED DOCUMENT printed (date) for reference only. . The current copy is available on-line at (link address)”*

For documents maintained on a locally accessed file: *“This is an UNCONTROLLED DOCUMENT printed (date) for reference only). The controlled document is located (state where, e.g. drive location, file name)”*

- b. Uncontrolled copies of hard copy controlled documents should have the following format:

“This is an UNCONTROLLED DOCUMENT for reference only. The controlled copy (or copies, if more than one) is (are) located (state where, e.g., file cabinet in a specific shop office or room number)”

Printed copies of this document are UNCONTROLLED. The controlled copy is located online at: http://www.lewis-mcchord.army.mil/publicworks/sustainability/EMS/tier_proc.aspx

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